

Violation Number	Date SAR Filed	Related Criminal or regulatory history	Court's Ruling	Alpine's Explanation for not including in grant of Summary Judgment
6, 9, 193, 202, 228, 232, 234-236, 238, 239, 241, 242, 244, 248, 252, 254-257, 259, 260, 262, 269, 270, 273, 274, 276, 279-281, 286, 291-295, 298-301, 303-305, 307-316, 330, 334, 337, 345, 347, 350, 351, 356-360, 362, 364, 368, 372, 376, 1585, 1586, 1591, 1599, 1601, 1611, 1613, 1618, 1619, 1621, 1627, 1633, 1635, 1639, 1652, 1653, 1660, 1664, 1674, 1700, 1705, 1714, 1717, 1723, 1724, 1746, 1750-1752, 1758, 1759, 1762, 1769, 1776, 1780-1783, 1786, 1790, 1796, 1798, 1816, 1817, 1822, 1880-1883, 1887, 1893-1895, 1897-1904, 1910, 1912-1915, 1921-1923, 1925-1931, 1940, 1944, 1946, 1947, 1956, 1960-1969, 1972, 1974, 1976, 1977, 1991, 1999	12/13/2011 through 3/27/2015	Only a reference to a bates number, which actual document is not in the record.	Court's ruling stated the following as to "related litigation: "The SEC is thus entitled to summary judgment to the extent it shows that there is no question of fact as to the (1) presence of information about the litigation in the SAR support file, and (2) a connection between the litigation and the reported transaction. That connection is established where the litigation at issue concerns either the issuer of the securities in the transaction or the customer engaged in the transaction." (pp. 54-55). The Court's Ruling did not address or determine whether any litigation was related to the reported transaction. These transactions are not part of Customers A, E, or D, as discussed by the Court.	Evidentiary record devoid of undisputed evidence of litigation that is related to the reported transaction.
699, 778, 794, 818, 1847, 1869	various	3rd party listed, which is a designation used by both the SEC and its expert in Table 2.	Court's ruling stated the following as to "related litigation: "The SEC is thus entitled to summary judgment to the extent it shows that there is no question of fact as to the (1) presence of information about the litigation in the SAR support file, and (2) a connection between the litigation and the reported transaction. That connection is established where the litigation at issue concerns either the issuer of the securities in the transaction or the customer engaged in the transaction." (pp. 54-55).	Based on the Court's ruling regarding "related" litigation, the allegation regarding "3rd parties" is unrelated.